

<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)</b>	Attorney Docket Number:	ART-00105.P.1.1-US
	First Named Inventor:	Cheng
	<b>COMPLETE IF KNOWN</b>	
	Application Number:	To be determined
	Filing Date:	Herewith
<input checked="" type="checkbox"/> Declaration Submitted with Initial Filing, OR	Group Art Unit:	To be determined
<input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e) required)	Examiner:	To be determined

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

An Integrated Biochip System for Sample Preparation and Analysis

the specification of which

☒ is attached hereto

OR

☐ was filed on \_\_\_\_\_ as United States Application Number \_\_\_\_\_ or PCT International Application Number \_\_\_\_\_ and was amended \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above- identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date	Certified Copy Attached?	
			YES	NO

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below:

Application Number(s)	Filing Date	[ ] Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto
60/239,299	October 10, 2000	

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR. 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application

U.S. Parent Application or PCT Parent Number	Parent Filing Date	Parent Patent Number (if applicable)

[ ] Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the United States Patent and Trademark Office connected herewith:

[X] Customer Number 24232

OR

[ ] Registered practitioner(s) name/registration number listed below:

Name	Registration Number	Name	Registration Number
David R. Preston	38,710	Liz Orr	45,937

[ ] Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☒ Customer Number 24232 or Bar Code Label [Attached Bar Code Label]  
OR  
☐ Correspondence address below:

Name	David R. Preston & Associates				
Address	David R. Preston				
Address	12625 High Bluff Drive, Suite 205				
City	San Diego	State	California	Zip Code	92130
Country	USA	Telephone	858.724.0375	Facsimile	858.724.0385

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle, if any)				Family Name or Surname			
Jing				Cheng			
Inventor's Signature						Date	
Residence: City	Beijing	State		Country	People's Republic of China	Citizenship	People's Republic of China
Post Office Address	Tsinghua University 4-204, No. 1 Building PuJi Yuan						
City	Beijing	State		Zip Code	100084	Country	People's Republic of China
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>3</u> supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.							

**DECLARATION**

**ADDITIONAL INVENTOR(S)  
SUPPLEMENTAL SHEET  
PAGE 1 OF 3**

<b>NAME OF ADDITIONAL INVENTOR</b>					<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle, if any)					Family Name or Surname		
Xiaobo					Wang		
Inventor's Signature						Date	
Residence: City	San Diego	State	CA	Country	USA	Citizenship	People's Republic of China
Post Office Address	Aviva Biosciences Corporation 11568-9 Sorrento Valley Road						
City	San Diego	State	CA	Zip Code	92121	Country	USA

# DECLARATION

## ADDITIONAL INVENTOR(S) SUPPLEMENTAL SHEET PAGE 2 OF 3

Given Name (first and middle, if any)				Family Name or Surname			
Lei				Wu			
Inventor's Signature						Date	
Residence: City	San Diego	State	California	Country	USA	Citizenship	People's Republic of China
Post Office Address	Aviva Biosciences Corporation 11568-9 Sorrento Valley Road						
City	San Diego	State	California	Zip Code	92121	Country	USA

Given Name (first and middle, if any)				Family Name or Surname			
Weiping				Yang			
Inventor's Signature						Date	
Residence: City	San Diego	State	CA	Country	USA	Citizenship	People's Republic of China
Post Office Address	Aviva Biosciences Corporation 11568-9 Sorrento Valley Road						
City	San Diego	State	CA	Zip Code	92121	Country	USA

# DECLARATION

## ADDITIONAL INVENTOR(S)

### SUPPLEMENTAL SHEET

PAGE 3 OF 3

Given Name (first and middle, if any)				Family Name or Surname			
Junquan				Xu			
Inventor's Signature						Date	
Residence: City	Beijing	State		Country	People's Republic of China	Citizenship	People's Republic of China
Post Office Address	No. 155 East Street Cheng Xian District Putian, Fujian						
City	Beijing	State		Zip Code	100084	Country	People's Republic of China

**ASSERTION OF SMALL ENTITY STATUS (37 C.F.R. 1.27(C)) - SMALL BUSINESS CONCERN**

**Docket Number: ART-00105.P.1.1-US**

**Applicant, Patentee, or Identifier:** Aviva Biosciences Corporation  
**Application or Patent Number:** To be determined  
**Filed or Issued:** Filed Herewith  
**Title:** An Integrated Biochip System for Sample Preparation and Analysis

**I hereby state that I am**

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

☐ a representative of the small business concern;

**NAME OF SMALL BUSINESS CONCERN:** Aviva Biosciences Corporation

**ADDRESS OF SMALL BUSINESS CONCERN:** 11568-9 Sorrento Valley Road, Suite 8  
 San Diego, California 92121

**I hereby assert that the above identified small business concern qualifies as a small business concern for purposes of paying reduced fees to the United States Patent and Trademark Office.**

**I hereby assert that the rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:**

☒ the specification filed herewith with title as listed above.

☐ the application identified above.

☐ the patent identified above.

**If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor if that person made the invention, or by any concern which would not qualify as a small business concern, or a nonprofit organization.**

**Each person, concern, or organization having any rights in the invention is listed below:**

☐ no such person, concern, or organization exists.

☒ each such person, concern, or organization is listed below:

Tsinghua University of Beijing China, rights only in the People's Republic of China

Statement Claiming Small Entity Status  
 Under 37 C.F.R. 1.9(f) and 1.27(c)  
 Small Business Concern  
 Corresponding to PTO/SD/10

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Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. 1.28(b))

NAME OF PERSON SIGNING: Lei Wu

TITLE OF PERSON IF OTHER THAN OWNER: Chief Operating Officer

ADDRESS OF PERSON SIGNING: 11568-9 Sorrento Valley Road, Suite 8  
San Diego, California 92121

SIGNATURE: 

DATE: 10/8/01

097360-40904  
F000T 609260

Statement Claiming Small Entity Status  
Under 37 C.F.R. 1.9(f) and 1.27(c)  
Small Business Concern  
Corresponding to PTO/SB/10

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**ASSERTION OF SMALL ENTITY STATUS -  
NONPROFIT ORGANIZATION (37 C.F.R. 1.27(C))**

Docket Number:

ART-00105.P.1.1 - US

Applicant, Patentee, or Identifier: Aviva Biosciences Corporation

Application or Patent Number: To be determined

Filed or Issued: Filed Herewith

Title: An Integrated Biochip System for Sample Preparation and Analysis

I assert that the nonprofit organization identified below is a nonprofit organization:

NAME OF NONPROFIT ORGANIZATION: Tsinghua University

ADDRESS OF NONPROFIT ORGANIZATION: Beijing

People's Republic of China 100084

**TYPE OF NONPROFIT ORGANIZATION:**☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION LOCATED IN ANY  
COUNTRY: NAME OF COUNTRY: [People's Republic of China]☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICANAME OF STATE: ☐CITATION OF STATUTE: ☐☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C.  
501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF  
STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF  
AMERICANAME OF STATE: ☐CITATION OF STATUTE: ☐I assert that the nonprofit organization identified above qualifies as a nonprofit organization for purposes of  
paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:☒ the specification filed herewith with title as listed above.☐ the application identified above.☐ the patent identified above.Statement Claiming Small Entity Status  
Under 37 C.F.R. 1.9(f) and 1.27(d)  
Nonprofit Organization  
Corresponding to PTQ/SB/11

I assert that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent invention if that person made the invention, or by any concern which would not qualify as a small business concern or a nonprofit organization.

Each person, concern, or organization having any rights in the invention is listed below:

☐ no such person, concern, or organization exists.

☒ each such person, concern, or organization is listed below.

Aviva Biosciences Corporation, outside of the People's Republic of China

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

NAME OF PERSON SIGNING: Lei Wu

CAPACITY OF PERSON SIGNING: Inventor

ADDRESS ON PERSON SIGNING: Aviva Biosciences Corporation  
11568 Sorrento Valley Road, Suite 8  
San Diego, CA 92121

SIGNATURE: 

DATE: 10/8/01

Statement Claiming Small Entity Status  
Under 37 C.F.R. 1.9(f) and 1.27(d)  
Nonprofit Organization  
Corresponding to PTO/SB/11

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FOOTNOTES